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PATENT  
Attorney Docket No.: 021044-000600

Assistant Commissioner for Patents  
Washington, DC 20231

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TECH CENTER 1600/2900

On June 21, 2002

TOWNSEND and TOWNSEND and CREW LLP

By [Signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Masuda et al.

Application No.: 09/998,667

Filed: December 3, 2001

For: TRAC1: MODULATORS OF  
LYMPHOCYTE ACTIVATION

DECLARATION UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I, Congfen Li, state that it was through error without deceptive intent that I was not named as an inventor in the above-referenced patent.

I agree to the correction of inventorship currently requested by the assignee of the above-referenced patent to include myself, Congfen Li, as a joint inventor.

Dated: 6/12/02

By [Signature]  
Congfen Li

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: (415) 576-0200 Fax: (415) 576-0300

SF 1349042-1

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)****Title of Invention** | **TRAC1: MODULATORS OF LYMPHOCYTE ACTIVATION**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 09/998,667, filed on December 3, 2001
- ☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**Inventor 1 Esteban Masuda Date: \_\_\_\_\_Signature: \_\_\_\_\_ Citizen of: ColombiaInventor 2 X. Charlene Liao Date: \_\_\_\_\_Signature: \_\_\_\_\_ Citizen of: United StatesInventor 3 Haoran Zhao Date: \_\_\_\_\_Signature: \_\_\_\_\_ Citizen of: United StatesInventor 4 Peter Chu Date: \_\_\_\_\_Signature: \_\_\_\_\_ Citizen of: United States☒ Additional inventors are being named on form(s) attached hereto.

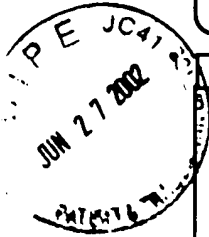
Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1349055 v1

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76) –  
ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
(Total of 2 forms are submitted.)**

FULL NAME OF INVENTOR(S)	
Inventor 5: Jorge Pardo	Date:
Signature: _____	Citizen of: Colombia
Inventor 6: Congfen Li	Date: 6/12/02
Signature: <i>Congfen Li</i>	Citizen of: United States
Inventor 7:	Date:
Signature: _____	Citizen of: _____
Inventor 8:	Date:
Signature: _____	Citizen of: _____

RECEIVED

JUL 08 2002

TECH CENTER 1600/2900

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. SF 1349055 v1

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PATENT  
Attorney Docket No.: 021044-000600

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On June 21, 2002  
TOWNSEND and TOWNSEND and CREW LLP  
By [Signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Masuda et al.

Application No.: 09/998,667

Filed: December 3, 2001

For: TRAC1: MODULATORS OF  
LYMPHOCYTE ACTIVATION

CONSENT OF ASSIGNEE FOR  
CORRECTION OF INVENTORSHIP  
UNDER 37 C.F.R. § 1.48

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Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The assignee of the above-identified patent application, Rigel Pharmaceuticals, Inc., consents to amending the subject patent application to add Congfen Li as an inventor of the subject patent application.



In accordance with 37 CFR § 3.73, a copy of the executed assignment submitted for recording is enclosed to establish Rigel Pharmaceuticals, Inc.'s ownership of the above-referenced patent application.

Rigel Pharmaceuticals, Inc.

Date: 06-17-02

By: Brian S. Cunningham

Name: Brian Cunningham

Title: President

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: (415) 576-0200  
Fax: (415) 576-0300

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Esteban Masuda, X. Charlene Liao, Haoran Zhao, Peter Chu, and Jorge Pardo

Application No./Patent No.: 09/998,667

Filed/Issue Date: December 3, 2001

Entitled: TRAC1: MODULATORS OF LYMPHOCYTE ACTIVATION

Rigel Pharmaceuticals, Inc.

, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

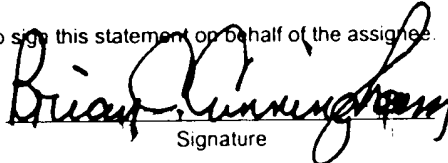
- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

March 14, 2002

Date

  
Signature

Brian C. Cunningham

Typed or printed name

President & COO

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231.

SF 1310173 v1

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ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Esteban Masuda of 232 Oakhurst Place, Menlo Park, CA 94025; X. Charlene Liao of 3751 Middlefield Road, Palo Alto, CA 94303; Haoran Zhao of 330 Port Royal Avenue, Foster City, CA 94404; Peter Chu of 15 Lincoln Way, #105, San Francisco, CA 94122; Jorge Pardo of 2295 44th Avenue, San Francisco, CA 94116; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: TRAC1: MODULATORS OF LYMPHOCYTE  
ACTIVATION

Date(s) of execution of Declaration:

Filing Date: December 3, 2001

Application No.: 09/998,667; and

WHEREAS, Rigel Pharmaceuticals, Inc., a corporation of the state of Delaware, located at 240 East Grand Avenue, South San Francisco, CA, 94080, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

*Exhibit only - not for recordation*

Dated: 03/08/02

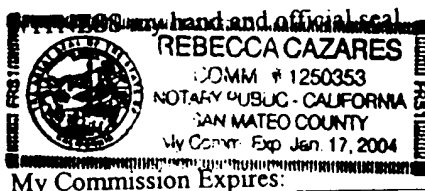
Haoran Zhao  
Haoran Zhao

STATE OF CALIFORNIA )

SS.

COUNTY OF )

On March 8, 2002, before me, Rebecca Cazares,  
personally appeared Haoran Zhao, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



Rebecca Cazares  
NOTARY PUBLIC

Dated: 2/6/02

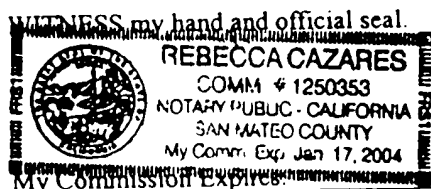
Peter Chu  
Peter Chu

STATE OF CALIFORNIA )

SS.

COUNTY OF San Mateo )

On February 6, 2002, before me, Rebecca Cazares,  
personally appeared Peter Chu, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



Rebecca Cazares  
NOTARY PUBLIC



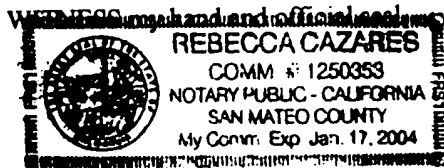
Dated: 02/06/02

Jorge Pardo  
Jorge Pardo

STATE OF CALIFORNIA )  
COUNTY OF San Mateo )

ss.

On February 6, 2002, before me, Rebecca Cazares,  
personally appeared Jorge Pardo, personally known to me (or proved to me on the basis of satisfactory evidence) to  
be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.



My Commission Expires: \_\_\_\_\_

Rebecca Cazares  
NOTARY PUBLIC

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: Feb 6, 2002

*Esteban Masuda*

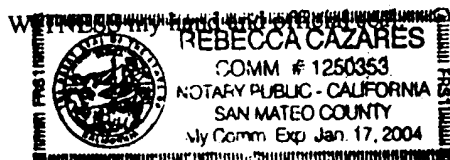
Esteban Masuda

STATE OF CALIFORNIA )

COUNTY OF San Mateo )

ss.

On February 6, 2002, before me, Rebecca Cazares, personally appeared Esteban Masuda, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



My Commission Expires: \_\_\_\_\_

*Rebecca Cazares*

NOTARY PUBLIC

Dated: 3/8/2002

*X. Charlene Liao*

X. Charlene Liao

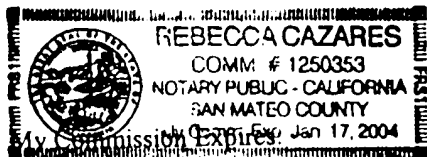
STATE OF CALIFORNIA )

COUNTY OF )

ss.

On March 8, 2002, before me, Rebecca Cazares, personally appeared X. Charlene Liao, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



*Rebecca Cazares*  
NOTARY PUBLIC

**ASSIGNMENT OF PATENT APPLICATION**

**JOINT**

WHEREAS, Esteban Masuda of 232 Oakhurst Place, Menlo Park, CA 94025; X. Charlene Liao of 3751 Middlefield Road, Palo Alto, CA 94303; Haoran Zhao of 330 Port Royal Avenue, Foster City, CA 94404; Peter Chu of 15 Lincoln Way, #105, San Francisco, CA 94122; Jorge Pardo of 2295 44th Avenue, San Francisco, CA 94116; and Congfen Li of 2115 Everglades Place, Davis, CA 95616; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent.

Title of Invention:           TRAC1: MODULATORS OF LYMPHOCYTE  
                                  ACTIVATION

Date(s) of execution of Declaration:

Filing Date:                December 3, 2001

Application No.:            09/998,667; and

WHEREAS, Rigel Pharmaceuticals, Inc., a corporation of the state of Delaware, located at 240 East Grand Avenue, South San Francisco, CA, 94080, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: \_\_\_\_\_

\_\_\_\_\_  
**Esteban Masuda**

STATE OF CALIFORNIA )

) ss.

COUNTY OF )

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared Esteban Masuda, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

Dated: \_\_\_\_\_

\_\_\_\_\_  
**X. Charlene Liao**

STATE OF CALIFORNIA )

) ss.

COUNTY OF )

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared X. Charlene Liao, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

Dated: \_\_\_\_\_

\_\_\_\_\_  
**Haoran Zhao**

STATE OF CALIFORNIA       )  
                                      )  
COUNTY OF                   )       ss.

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared Haoran Zhao, personally known to me (or proved to me on the basis of satisfactory evidence) to  
be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

Dated: \_\_\_\_\_

\_\_\_\_\_  
**Peter Chu**

STATE OF CALIFORNIA       )  
                                      )  
COUNTY OF                   )       ss.

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared Peter Chu, personally known to me (or proved to me on the basis of satisfactory evidence) to be  
the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

Dated: \_\_\_\_\_

**Jorge Pardo**

STATE OF CALIFORNIA     )  
  )     ss.  
COUNTY OF \_\_\_\_\_ )

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared Jorge Pardo, personally known to me (or proved to me on the basis of satisfactory evidence) to  
be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the  
same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

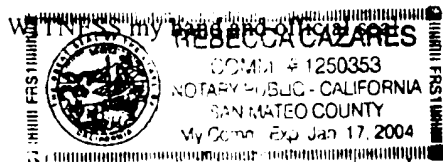
My Commission Expires: \_\_\_\_\_

Dated: 6/12/02

Congfen Li  
Congfen Li

STATE OF CALIFORNIA     )  
  )     ss.  
COUNTY OF San Mateo )

On June 12, 2002, before me, Rebecca Cazares,  
personally appeared Congfen Li, personally known to me (or proved to me on the basis of satisfactory evidence) to  
be the person whose name is subscribed to the within instrument, and acknowledged to me that ~~he~~/she executed the  
same in ~~his~~/her authorized capacity, and that by ~~his~~/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.



Rebecca Cazares  
NOTARY PUBLIC

My Commission Expires: 1/17/2004